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**TERMINAL DISCLAIMER TO OBTAIN A PROVISIONAL DOUBLE PATENTING  
REJECTION OVER A PENDING SECOND APPLICATION**

Docket Number (Optional)

In re Application of: Jan Stallaert et al.

Application No.: 09/067,640

Filed: 04/27/1998

For: A Method and Apparatus for Bundled Asset Trading

The owner\*, Omega Consulting, Inc., of 100 percent interest in the instant application hereby disclaims, except as provided below, the terminal part of the statutory term of any patent granted on the instant application, which would extend beyond the expiration date of the full statutory term defined in 35 U.S.C. 154 to 156 and 173 as shortened by any terminal disclaimer filed prior to the grant of any patent granted on pending second Application Number 09/472,671, filed on 12/27/1999, of any patent on the pending second application. The owner hereby agrees that any patent so granted on the instant application shall be enforceable only for and during such period that it and any patent granted on the second application are commonly owned. This agreement runs with any patent granted on the instant application and is binding upon the grantee, its successors or assigns.

In making the above disclaimer, the owner does not disclaim the terminal part of any patent granted on the instant application that would extend to the expiration date of the full statutory term as defined in 35 U.S.C. 154 to 156 and 173 of any patent granted on the second application, as shortened by any terminal disclaimer filed prior to the patent grant, in the event that any such granted patent: expires for failure to pay a maintenance fee, is held unenforceable, is found invalid by a court of competent jurisdiction, is statutorily disclaimed in whole or terminally disclaimed under 37 CFR 1.321, has all claims canceled by a reexamination certificate, is reissued, or is in any manner terminated prior to the expiration of its full statutory term as shortened by any terminal disclaimer filed prior to its grant.

Check either box 1 or 2 below, if appropriate.

1. ☐ For submissions on behalf of an organization (e.g., corporation, partnership, university, government agency, etc.), the undersigned is empowered to act on behalf of the organization.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

2. ☒ The undersigned is an attorney or agent of record.

Barry S. Newberger  
Signature

26 Mar 03  
Date

Barry S. Newberger

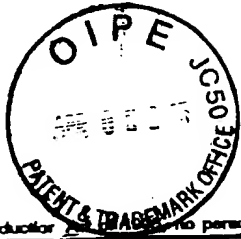
Typed or printed name

- ☐ Terminal disclaimer fee under 37 CFR 1.20(d) is included.

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

\*Statement under 37 CFR 3.73(b) is required if terminal disclaimer is signed by the assignee (owner).  
Form PTO/SB/96 may be used for making this statement. See MPEP § 324.

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## CORRECTION OF PATENTS

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Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

### TERMINAL DISCLAIMER TO OBVIATE A PROVISIONAL DOUBLE PATENTING REJECTION OVER A PENDING SECOND APPLICATION

Docket Number (Optional)

In re Application of:  
Application No.  
Filed:  
For:

The owner, \_\_\_\_\_ of \_\_\_\_\_ percent interest in the instant application hereby disclaims, except as provided below, the terminal part of the statutory term of any patent granted on the instant application, which would extend beyond the expiration date of the full statutory term defined in 35 U.S.C. 154 to 156 and 173 as shortened by any terminal disclaimer filed prior to the grant of any patent granted on pending second Application Number \_\_\_\_\_, filed on \_\_\_\_\_. The owner hereby agrees that any patent so granted on the instant application shall be enforceable only for and during such period that it and any patent granted on the second application are commonly owned. This agreement runs with any patent granted on the instant application and is binding upon the grantee, its successors or assigns.

In making the above disclaimer, the owner does not disclaim the terminal part of any patent granted on the instant application that would extend to the expiration date of the full statutory term as defined in 35 U.S.C. 154 to 156 and 173 of any patent granted on the second application, as shortened by any terminal disclaimer filed prior to the patent grant, in the event that any such granted patent: expires for failure to pay a maintenance fee, is held unenforceable, is found invalid by a court of competent jurisdiction, is statutorily disclaimed in whole or terminally disclaimed under 37 CFR 1.321, has all claims cancelled by a reexamination certificate, is reissued, or is in any manner terminated prior to the expiration of its full statutory term as shortened by any terminal disclaimer filed prior to its grant.

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2. ☐ The undersigned is an attorney of record.

Signature

Date

Typed or printed name

- ☐ Terminal disclaimer fee under 37 CFR 1.20(d) is included.

\*Certification under 37 CFR 3.73(b) is required if terminal disclaimer is signed by the assignee (owner).  
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**Burden Hour Statement** This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



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<b>TERMINAL DISCLAIMER TO OBVIATE A PROVISIONAL DOUBLE PATENTING REJECTION OVER A PENDING SECOND APPLICATION</b>	Docket Number (Optional)
<p>In re Application of: Application No. _____ Filed: _____ For: _____</p> <p>The owner, _____ of _____ percent interest in the instant application hereby disclaims, except as provided below, the terminal part of the statutory term of any patent granted on the instant application, which would extend beyond the expiration date of the full statutory term defined in 35 U.S.C. 154 to 156 and 173 as shortened by any terminal disclaimer filed prior to the grant of any patent granted on pending second Application Number _____, filed on _____. The owner hereby agrees that any patent so granted on the instant application shall be enforceable only for and during such period that it and any patent granted on the second application are commonly owned. This agreement runs with any patent granted on the instant application and is binding upon the grantee, its successors or assigns.</p> <p>In making the above disclaimer, the owner does not disclaim the terminal part of any patent granted on the instant application that would extend to the expiration date of the full statutory term as defined in 35 U.S.C. 154 to 156 and 173 of any patent granted on the second application, as shortened by any terminal disclaimer filed prior to the patent grant, in the event that any such granted patent expires for failure to pay a maintenance fee, is held unenforceable, is found invalid by a court of competent jurisdiction, is statutorily disclaimed in whole or terminally disclaimed under 37 CFR 1.321, has all claims cancelled by a reexamination certificate, is reissued, or is in any manner terminated prior to the expiration of its full statutory term as shortened by any terminal disclaimer filed prior to its grant.</p> <p>Check either box 1 or 2 below, if appropriate.</p> <p>1. <input type="checkbox"/> For submissions on behalf of an organization (e.g., corporation, partnership, university, government agency, etc.), the undersigned is empowered to act on behalf of the organization.</p> <p>I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.</p> <p>2. <input type="checkbox"/> The undersigned is an attorney of record.</p> <div style="text-align: right; margin-top: 20px;">         _____ Signature       </div> <div style="text-align: right; margin-top: 10px;">         _____ Date       </div> <div style="text-align: right; margin-top: 10px;">         _____ Typed or printed name       </div> <p><input type="checkbox"/> Terminal disclaimer fee under 37 CFR 1.20(d) is included.</p> <p><small>*Certification under 37 CFR 3.73(b) is required if terminal disclaimer is signed by the assignee (owner). Form PTO/SB/96 may be used for making this certification. See MPEP § 324.</small></p>	

**Burden Hour Statement** This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

18608-P001C1



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PATENT

- 1 -

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Jan Stallaert et al.

Serial No.: 09/067,640

Filed: April 27, 1998

Group Art Unit: 2163

Examiner: Geoffrey Akers

Title: A METHOD AND APPARATUS FOR BUNDLED ASSET TRADING

**TERMINAL DISCLAIMER TRANSMITTAL LETTER**

Assistant Commissioner for Patents  
Washington, D. C. 20231

Dear Sir:

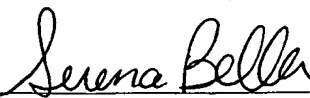
Transmitted herewith is the Terminal Disclaimer for the above-identified Application.

- ☐ No additional fee is required.
- ☒ The fee has been calculated as shown below:

---

**CERTIFICATION UNDER 37 C.F.R. § 1.8**

I hereby certify that this correspondence (along with any item referred to as being enclosed herewith) is being faxed to SPE Vincent Millin at (703) 306-4597, to Assistant Commissioner for Patents, Washington, D.C. 20231, on January 27, 2003.



Signature

Serena Beller

(Printed name of person certifying)

CLAIMS AS AMENDED						
	CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE	ADDITIONAL FEE
Total Claims:	47	-	47	0	x \$9=	\$ - 0 -
Independent Claims:	4	-	4	0	x \$42 =	\$ - 0 -
TOTAL ADDITIONAL FEE FOR THIS AMENDMENT =						\$ - 0 -

- ☒ Please charge Deposit Account No. 23-2426 (18608-P001C1) in the amount of \$ 55.00 (Terminal Disclaimer Fee). **A duplicate copy of this transmittal letter is enclosed.**
- ☒ The Assistant Commissioner is hereby authorized to charge payment of the following fees associated with this communication, or credit any overpayment, to Deposit Account No. 23-2426 (18608-P001C1). **A duplicate copy of this transmittal letter is enclosed.**
- ☒ Any additional filing fees required under 37 C.F.R. § 1.116.
- ☒ Any patent application processing fees under 37 C.F.R. § 1.17.

Respectfully submitted,

WINSTEAD SECHREST & MINICK P.C.

Attorney for Applicants

By: 

Kelly K. Kordzik  
Reg. No. 36,571

5400 Renaissance Tower  
1201 Elm Street  
Dallas, Texas 75270  
(512) 370-2851

18608-P001C1



PATENT

- 1 -

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Jan Stallaert et al.

Serial No.: 09/067,640

Filed: April 27, 1998

Group Art Unit: 2163

Examiner: Geoffrey Akers

Title: A METHOD AND APPARATUS FOR BUNDLED ASSET TRADING

January 27, 2003

**TERMINAL DISCLAIMER**

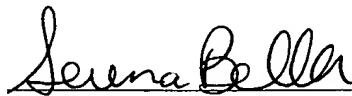
Assistant Commissioner for Patents  
Washington, D. C. 20231

The owner, Omega Consulting, Inc., of 100% interest in the instant application hereby disclaims, except as provided below, the terminal part of the statutory term of any patent granted on the instant application, which would extend beyond the expiration date of the full statutory term defined in 35 U.S.C. 154 to 156 and 173, as presently shortened by any terminal disclaimer, of prior Serial No. 09/472,671. The owner hereby agrees that any patent so granted on the instant application

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**CERTIFICATION UNDER 37 C.F.R. § 1.8**

I hereby certify that this correspondence (along with any item referred to as being enclosed herewith) is being faxed to SPE Vincent Millin at (703) 306-4597, to Assistant Commissioner for Patents, Washington, D.C. 20231, on January 27, 2003.

  
\_\_\_\_\_  
Signature

Serena Beller  
\_\_\_\_\_  
(Printed name of person certifying)

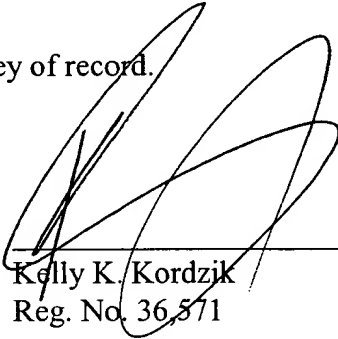
shall be enforceable only for and during such period that it and the prior Serial No. 09/472,671 are commonly owned. This Agreement runs with any patent granted on the instant application and is binding upon the grantee, its successors and assigns.

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The undersigned is an attorney of record.



---

Kelly K. Kordzik  
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